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ABSTRACT

This discussion of the implementation of services related to the Center for Research Libraries (CRL) if Concordia University Libraries were to join CRL includes policies and procedures designed to assist Concordia in making effective use of CRL's services without sacrificing regular services or incurring large expenses in addition to the membership fee. Included in the report are a history of the CRL proposal; a 1978 report by Derek Robertson recommending that the library join CRL; recommended policies and procedures; recommendations for publicity to make patrons aware of CRL and particular collections that might pertain to their field of research; and recommendations for monitoring and evaluating interlibrary loan benefits (cost savings), user benefits, collections benefits, and the costs involved in membership. Appendices include a description of CRL's art and architecture collection and a flow chart of interlibrary loan procedures at Concordia. (RBF)

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CENTER FOR RESEARCH LIBRARIES STUDY,
CONCORDIA UNIVERSITY

FINAL REPORT

BY

J. TALLON

ILL LIBRARIAN

SEPTEMBER 16, 1979

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1. INTRODUCTION

My primary aim in this report is to consider the implementation of services related to the Center for Research Libraries (CRL). In each of the major sections (operations, publicity and evaluation) I have attempted to present policies and procedures that will result in our making effective use of CRL's services, without sacrificing our regular services or incurring large expenses in addition to our membership fee.

In the section on evaluation I feel that I have taken a cautious attitude, preferring for example, to make our own study of turn around time rather than accept figures publicized by CRL or reported by other libraries. I consider such procedures necessary to ensure that CRL membership meets the particular needs of our institution and does not adversely affect our regular operations. However, this caution is not an expression of a negative or ambivalent attitude toward CRL; in fact my research on CRL has left me highly impressed with the services they offer and confident that membership will prove to be of lasting value to us.

Certain general information is given in the section on Derek Robertson's report. This information was mainly gathered from CRL publications, and conversations with CRL officials concerning problems raised in that report.

I have included copies of a pamphlet titled Library Materials Available for Research from the Center for Research Libraries for distribution to members of the Senate Library Committee. This pamphlet lists major collections at the Center under headings relating to subject, geographical areas, or bibliographic form. I would also recommend to Committee members the section herein on Derek Robertson's report, and the summary of benefits of CRL membership given in the section on evaluation, as being particularly relevant to the question of our membership in CRL.

Related to the above mentioned pamphlet, I would suggest a number of cautions. Only special collections are listed, but CRL has also a large number of items, listed individually in its Catalog and not included in these special collections. A number of subjects, like Art and Architecture, are not listed in the pamphlet but have substantial entries in the CRL Handbook. Other areas are difficult to find; Commerce, for example, would be found under 'Economics, Business, and Labor'. Finally this listing of collections does not easily lead to an accurate conception of the balance of CRL's collection. The section on 'Science and Technology', for example, has a relatively small entry in the pamphlet, but the collections listed in this entry constitute a large part of CRL's monograph collection and the major part ot its periodicals.

2. HISTORY OF THE CRL PROPOSAL

The proposal that Concordia become a member of CRL has been under consideration in the Library for some time. It was the subject of a report by Derek Robertson in November, 1978, and has been recommended by the Collections Development Committee (October 1978), Services Committee (January 1979) and Book Budget Advisory Committee (March 1979). It was approved by the Library's Executive Committee in April 1979, subject to further discussions in the Senate Library Committee. The following suggestions, as adumbrated in J. Princz's memo to Senate Library Committee members (April 20, 1979), were accepted during the discussions within the Library: that membership should be for an initial period of not less than four years, at which time a major evaluation should take place, that the usefulness of membership should be carefully monitored and evaluated on an annual basis, that a continuous major marketing program should be undertaken, and that 50% of the membership fee should be sought from some source outside the Library's acquisitions budget, or, if this is not successful, the major part of the cost will be borne by the Contingency Fund. I have tried, in writing this report, to make recommendations that followed these suggestions.

3. REPORT OF DEREK ROBERTSON, NOVEMBER 1978. NOTES AND ADDITIONS

Note 1. Re. page 1, paragraph 1: "The present size of its collection..."

More recent statistics indicate the size of the collection to be 4 million volumes (cf. Concordia's collection of 1 million volumes). There are approximately 3.26 million hard copy volumes and 750,000 microforms.

The Center receives 14,000 current periodicals (cf. Concordia's 6,500 subscriptions). Accessions for 1978-79 was 81,000 volumes.

Note 2. Re. page 1, paragraph 1: "For the exception of Fine Arts and medical sciences..."

See Appendix I, for the listing, given in the CRL Handbook, of collections at the Center relating to Art and Architecture and Music. See the pamphlet Library Materials Available for Research from the Center for Research Libraries for collections relating to medicine.

Note 3. Re. page 1, paragraph 1: "A major portion of the collection English language...."

Approximately 50% of the periodicals collection is in languages other than English, while 25% of the monographs are in these languages.

Note 4. Re. page 1, paragraph 1: "The sources of acquisitions of this material is by a) direct acquisition by the Center through purchase...".

The Center's acquisitions budget for 1979-1980 is $640,000. Purchases are suggested by members and must be approved by a majority.

The Center also maintains a demand purchase program for foreign dissertations, U.S. State Documents, and archival collections and newspapers on microfilm. This means that materials in any of these categories will be purchased by the Center upon receiving a loan request for an item not in its collection. The budget for the demand purchase program for 1978-79 was $80,000.

Note 5. Re. page 1, paragraph 3: "...a complete list of the Center's collections..."

This should read: "...a list of the Center's microfilm collections...".

Note 6. Re. page 6, paragraph 3: "...lack of storage space to accommodate subsequent acquisitions of bulky materials"

Because of this lack of storage space the Center is presently accepting only purchased items, periodicals and materials that are part of already established collections, for example foreign dissertations. Some deposits of special interest are being accepted and housed, unprocessed, in rented storage.

Note 6 (cont'd)

CRL has received a grant of one million dollars from the Ford Foundation for a new building. According to Gordon Williams, the Center's Director, they will be able to obtain additional funds and begin the erection of a new building in 1980. The Center's development plans call for three buildings, each the size of the existing structure.

Note 7. Re. page 6, paragraph 4: "....as membership fees would no longer apply."

This would be applicable only to the periodicals collection, or that part of the periodicals collection transferred to a National Periodicals Center.

Addition 1. Journals Access Service

The Journals Access Service (JAS) enables Center members to request any article published in any journal in science, engineering, or the social sciences (including commerce). Requests which the Center cannot fill from its own collection are sent immediately, via computer/satellite network, to the British Library Lending Division (BLLD). The BLLD returns a photocopy, which the Center pays for, by airmail. Average turn-around time for requests forwarded to the BLLD is 12 days, and the cancellation rate is a relatively low 15%. Around 10% of the JAS requests are filled from the Center's own collections.

Inclusion of the humanities in JAS is presently under consideration.

4. POLICIES AND PROCEDURES. RECOMMENDATIONS

The main policy decision that must be made if we join CRL concerns loan periods.

The present ILL loans policy is that materials may be borrowed for two weeks, with the possibility of two weeks renewal if the lending library consents. I recommend that we follow this same policy, except that renewals can be automatic upon request.

In addition, in order to take advantage of CRL's unlimited loan period, I recommend that we allow term loans for faculty or graduate students requiring materials for a longer period. Since this is the same as the loans policy for circulating materials in Concordia libraries it should be least confusing to our borrowers. I recommend also that renewals of term loans be allowed when required.

All extended loans would be subject to recall by CRL, as is required by their loans policy.

Procedures for use of CRL's services must cover how we determine whether an item is held at CRL, verification, deciding when to use CRL as a source, communication, and statistics. The most important recommendations and their rationales are given below. Based on these recommendations, an integrated and complete scheme of procedures relating to CRL is given in a flow chart in Appendix II.

To determine whether or not an item is held at CRL we would require copies of the Center's Catalog and Handbook in the Norris and Vanier ILL offices, and an additional copy of the serials volumes at SEL. I would recommend also that copies of the Handbook be available at all Reference Desks for use in the assistance of patrons. Copies of the Handbook and one copy of the Catalog are provided with membership, and additional copies of the Catalog are available for $150.00 U.S.

Prior to verification I recommend that items thought likely to be at CRL be checked against the Center's Catalog or serials list. If not found we should attempt verification against standard sources. Since CRL is given as a location in several of these sources, this may identify certain items, not checked in the Catalog, as being located at CRL.

After an item is verified we should then attempt to determine whether or not this item falls within the scope of one of the CRL collections. Since a large proportion of CRL materials are in uncatalogued collections, this determination is crucial if we are to make effective use of CRL's services. Careful and continued study of the Handbook by the ILL staff will be necessary for the success of this procedure.

For items not verified to standard sources but within the scope of CRL's collections I recommend that we not attempt further verification. By thus taking advantage of CRL's policy of not insisting on verification we would save on the staff time necessary to verify these difficult items. However we should monitor carefully the success or failures, as measured by unnecessary cancellations, of this procedure.

Finally requests for articles since 1970 in the Social Sciences, Commerce, Science and Engineering should be separated out for possible ordering through JAS.

Initially I recommend ordering all items known to be at CRL, or in the scope of one of its collections, from CRL in preference to other locations, and ordering all items available through JAS in preference to other locations except for items known (through locations given in verification sources) to be at CISTI, the National Library, or libraries on PEBUQUILL/IUTS.

This recommendation is based on a recently conducted survey of turn-around times and cancellation rates for libraries from which Concordia borrowed materials in the period January 1979 - July 1979. The results of this survey are as follows:

Source	Average turn-around if known as a location. Calendar days.	Average turn-around if we first go to NLC for locations. Calendar days.
National Library (NLC)	7.2	
Pebuquill	8.7	15.4
CISTI (ordered through CANDOC)	7.2	
Canadian - mail	24	30.7
U.S. - mail	23.2	

The average cancellation rate for all above locations combined was 14%.

Comparing these figures against the anticipated turn-around times of 4.5 days for CRL (cancellation rate 5%) and 12 days for JAS (cancellation rate 15%) the preference ordering given in the recommendation above emerges as that which will provide the best service to our users.

When sufficient materials have been ordered from CRL to allow us to judge the actual turn-around times and cancellation rates for CRL and JAS this ranking should be reviewed.

I recommend that requests be telexed to CRL on the SGW Campus, this procedure being the most easily integrated into our present operations. We will need to maintain a record of the number of telexes sent, and on this basis plus our estimate of the average cost per message CRL will reimburse our telex costs (Canadian locations cannot telex collect). The Vanier Library, with their more limited access to telex, may wish to consider collect telephone requests as an alternative. CRL will send items directly to the location requesting them.

Other than the number of telexes and cancellations I recommend that we do not keep separate statistics for CRL, but rather file the request cards separately when the transaction is complete. The statistics needed for monitoring and evaluation of CRL will be easily obtainable from the cards, and this will interfere less with our regular operations.

5. PUBLICITY

If we are to obtain sufficient demand for CRL materials to justify the cost of membership, it seems imperative that Concordia's researchers be made aware of the materials available and conditions governing their accessibility. The enormous scope of the collections at CRL and the diversity of research interests in the University community, however, make this project particularly challenging.

General publicity could be used to make our patrons aware of the existence of CRL, its services, and in very general terms, its collections. In this respect I recommend:

1) A large (one page) announcement in the Library Letter as close as possible to the date of joining CRL.

2) Brief descriptions for placement in the Owner's Manual, and, if possible, the Graduate Studies Calendar or other University publications directed towards graduate students.

3) Requesting that a feature on CRL appear in the Thursday Report.

More specialized publicity should be used to make users aware of particular collections at CRL that might pertain to their field of research. In this respect I recommend:

1) Sending each full time faculty member a copy of the pamphlet Library Materials Available for Research from the Center for Research Libraries, and having several hundred additional copies available, at the Reference Desks and ILL offices, for others who request them. The Center will supply, without charge, at least 1,000 copies of the pamphlet. Given the limitations of the pamphlet, however, I think it advisable that a covering letter should be sent with the distribution.

2) An insert on CRL highlights should be prepared for each issue of the Library Letter, describing collections with some degree of general interest, for example, newspapers or foreign dissertations.

3) A copy of the Handbook should be distributed to all subject librarians and librarians should be requested to send letters to graduate students and faculty in these areas outlining collections of interest to researchers in those fields.

6. BENEFITS OF MEMBERSHIP AND EVALUATION

My recommendations in this section follow the suggestions that arose from discussions within the Library that a major evaluation take place after four years membership and that our membership should be carefully monitored and evaluated on an annual basis.

I recommend that the annual evaluation be used to:

1) Consider large scale changes in the library or CRL that could affect the desirability of our membership,

2) Determine if CRL is performing as anticipated with respect to delivery of materials,

3) Determine if we are effectively marketing CRL, and

4) Consider if our policies and procedures relating to CRL are working towards the effective utilization of its services.

This will require the compilation, on an annual basis, of statistics relating to turn-around time, cancellations, and use of CRL.

In preparation for a major evaluation at the end of four years we should follow procedures that will permit a rapid summing up, at that time, of the total costs and benefits accrued. In the remainder of this section I have tried to summarize the costs and benefits that could be anticipated through membership in CRL, and have given recommendations concerning procedures relating to the evaluation of these. Benefits have been divided, somewhat artificially, into ILL benefits (cost savings), collections benefits, and user benefits.

I. ILL Benefits (cost savings)

1) Photocopy charges will be avoided on photocopies received from CRL or through JAS.

2) CRL will sometimes be used in place of libraries charging a transaction fee. A number of major research libraries, including Harvard, Cornell, Columbia, Yale and CRL (for non-members) charge a fee of $8 - $10 for each request processed. The number of libraries charging, and the amount of the fees, are increasing.

3) There may be some savings in verification time.

4) There will be telex savings as CRL pays all communications costs.

Photocopy savings could be estimated from the total number of JAS requests placed, which would be one of the statistics tabulated annually. Transaction fee savings would be difficult to determine because of the changing situation in this area. A comparison of ILL budgets before and after joining CRL might, however, provide some basis for estimation. I recommend ignoring savings in verification time, as these would be very difficult to estimate accurately and should not amount to a large amount. Telex savings can be approximated by cumulating the reimbursements received from CRL. This would ignore the fact that CRL may sometimes replace a Canadian supplier (lower Telex rate), but this should be counterbalanced

by the fact that most often we must telex two times, the first for locations, when obtaining such items.

II. User Benefits

1) Our users will have access to a number of collections which only CRL has or will lend. As a non-member we are restricted to only one or two loans per year from CRL.

2) Users will have the benefit of CRL's unlimited loans period.

3) Users will normally be able to borrow whole periodicals and newspapers if these are in CRL's collections, thus permitting "browsing" through these materials.

4) Users will save on articles ordered from CRL since the Center normally sends the periodical rather than a photocopy.

5) Users will benefit from the improved turn-around times and cancellation rates for items ordered from CRL and through JAS. (The anticipated time required for an item to be sent to Concordia from CRL is 4.5 days after it is ordered, compared to an average of 13.9 days for other suppliers.)

User benefits are unfortunately both the most important and the most difficult to evaluate. Least problematic are turn-around times and cancellation rates, which should be evaluated annually. The former can be most easily accomplished by keeping finished CRL requests in a separate file, and the latter would require keeping separate cancellation statistics for CRL.

Quantitative evidence of other user benefits will be given by the number of loans made from CRL, which should be part of the annual statistics. Qualitative evidence could be solicited by means of a questionnaire, which could be given to frequent users with materials borrowed, or mailed out on an annual basis.

III. Collections Benefits

1) If we become permanent members of CRL we would be able to avoid the purchase of expensive and little used materials that are available from the Center.

To evaluate the potential for such benefits selection librarians could be asked to record any purchases delayed because of CRL membership or which would not have been made were such membership permanent. It would probably be best to request this information on an annual basis.

IV. Costs

1) Membership fee.

2) Staff time required to check if monographs and periodicals are in the Center's collections.

3) Return postage on periodicals and newspapers.

Staff time should be monitored in practice, and should be estimated on a subjective basis. Return postage could be estimated from the number of CRL periodicals received, which could be tabulated from cards in the file.

The Center holds a number of monographs and serials in the areas of art and architecture, many of which are listed in the Center's printed *Catalogue*. Some collections containing materials in these fields include the following.

Microform Projects: Books and Periodicals before 1900. The Center holds, and continues to receive, a number of collections of earlier books and periodicals. Many of these contain titles in art and architecture (e.g., British Periodicals in the Creative Arts). These are listed and described under "Literature—European and American" in this *Handbook*.

A microform project devoted exclusively to early architectural materials is:

American Architectural Books. (Research Publications, Inc.). Microfilm copies of American architectural books prior to the 20th century. The titles will appear in a future supplement to the Center's printed *Catalogue*. These bibliographies are available for loan from the Center.

Hitchcock, Henry Russell. *American architectural books: a list of books, portfolios and pamphlets on architecture and related subjects published in America before 1895*. Minneapolis: University of Minnesota Press, 1962. (Reprint of the 3rd revised edition of 1946.)

Park, Helen. "A list of architectural books available in America before the Revolution," *Journal of the Society of Architectural Historians*, October, 1961, pp. 115–130.

Ask the Center for any title in scope.

Sotheby Sale Catalogues. (University Microfilms, London). Microfilm edition of the complete collection of sale catalogues of the Sotheby & Co., London, 1773–1945. A copy of the guide to the contents of the microfilm is available for loan from the Center.

Textbooks. A number of elementary and secondary school textbooks in the field of art are held in the Center's collections. See "Education—Primary and Secondary" in this *Handbook*.

The Center holds a number of monographs and serials in the field of music, many of which are listed in the Center's printed *Catalogue*. Some collections containing materials relating to music include the following.

Microform Projects: Books and Periodicals before 1900. The Center holds, and continues to receive, a number of collections of pre-1900 books and periodicals. Many of these contain titles relating to music (e.g., drama collections which include many libretti). These are listed and described under "Literature—European and American" in this *Handbook*.

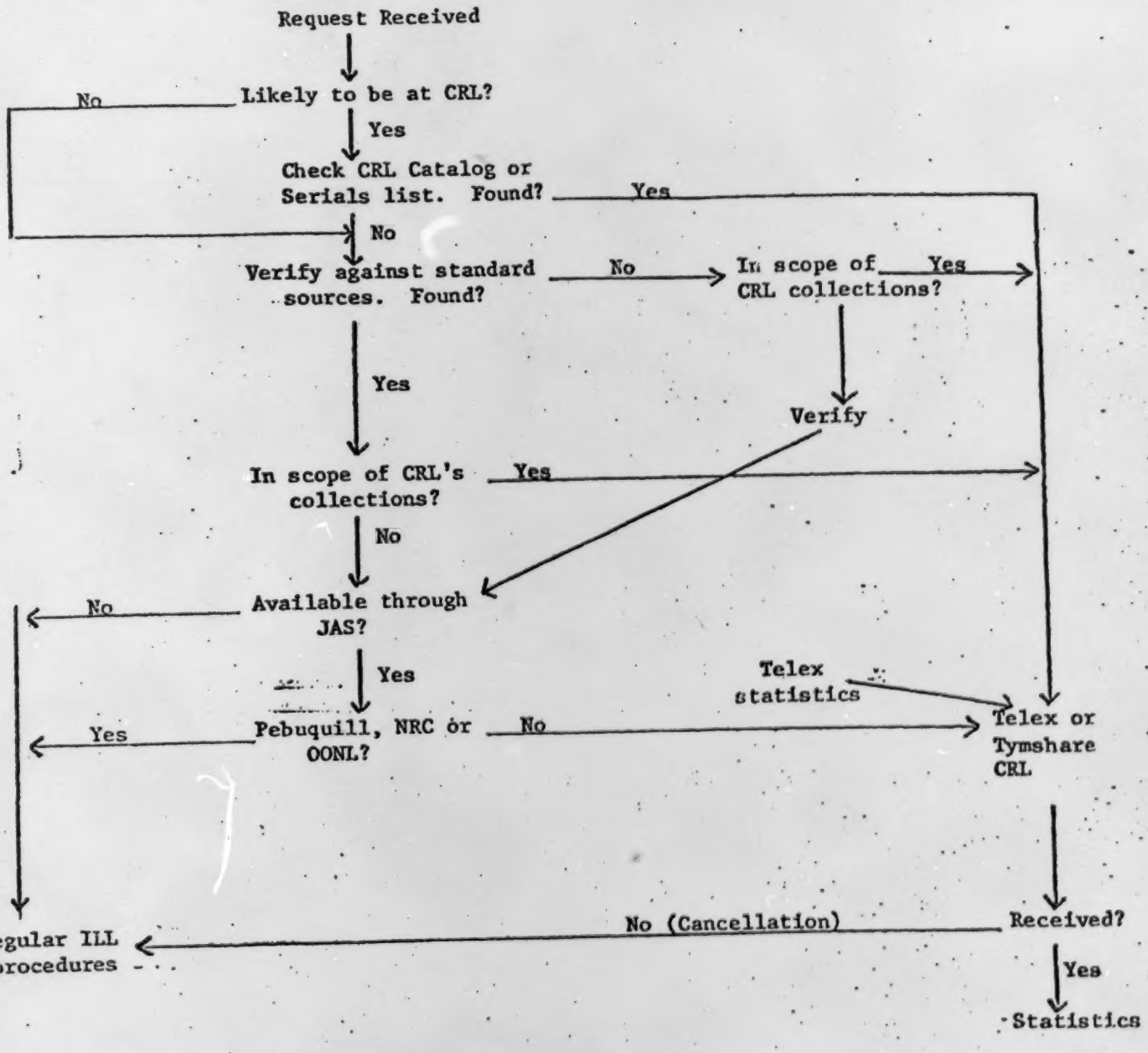
Early Music Books and Periodicals (University of Rochester). Microcard copies of books and periodicals. Some of the periodical runs extend to late in the 19th century, but most of the books date from before 1850. These titles are, or will be, listed in the Center's printed *Catalogue*.

Early Romantic Opera. (Garland Publishing). A facsimile reprint of orchestral scores of selected early Italian and French romantic operas, 1788–1865. A contents list is available from the Center on request.

Italian Opera 1640–1770. (Garland Publishing). A sixty volume facsimile reprint set of selected early Italian opera scores and libretti. A contents list is available from the Center on request.

Libretti to 1800 in the Herzog August Bibliothek, Wolfenbuttel. (Kraus-Thomson). Microfiche copies of 1742 items held at Wolfenbuttel. A printed catalog is available for loan from the Center: *Kataloge der Herzog August Bibliothek, Wolfenbuttel. XIV. Libretti*. Ed. by Eberhard Thiel. (Frankfort, 1970). These titles will be listed in the Center's printed *Catalogue*.

Textbooks. A number of elementary and secondary school textbooks in the field of music are held in the Center's collections. See "Education—Primary and Secondary" in this *Handbook*.


Request Received
Likely to be at CRL?
No
Yes
Check CRL Catalog or Serials list. Found?
Yes
No
Verify against standard sources. Found?
No
In scope of CRL collections?
Yes
Yes
Verify
In scope of CRL's collections?
Yes
No
Available through JAS?
No
Yes
Telex statistics
Pebuquill, NRC or OONL?
Yes
No
Telex or Tymshare CRL
Regular ILL procedures
No (Cancellation)
Received?
Yes
Statistics